



North Carolina Department of Cultural Resources

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Office of Archives and History
Division of Historical Resources



August 2006

STATE RECORDS CENTER --- HANDBOOK

Street Location:

215 North Blount Street
Raleigh, NC

Mailing Address / Organizational Structure:

Government Records Branch
Archives and Records Section
Division of Historical Resources
Office of Archives and History
Dept. of Cultural Resources

4615 Mail Service Center
Raleigh, NC 27699-2615

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State Records Center and Records Center Operations

The State Records Center (SRC) is located at 215 North Blount Street (across from the Governor's Mansion) in the state government complex in downtown Raleigh. In addition to containing offices for the Government Records Branch, it was designed and equipped specifically for the storage of inactive governmental records. The SRC operations staff are officially known as the State Agency Services Unit. The branch also maintains other off-site records storage facilities.

In accordance with the NC Administrative Code, entry and access to the SRC building is limited to persons on official business. All visitors are required to provide identification (i.e., state government photo ID badge or driver's license) for inclusion in the branch's Patron Registration database and must wear a "visitor" badge when in the building. Access by persons not on official business may be denied. Visitors must be escorted by branch staff when in the records storage areas or other areas beyond the administrative offices.

Depending on the creating agency's program Records Schedule, records are transferred to the SRC for storage in either paper, microfilm / microfiche, or occasionally as some form of magnetic media. The SRC provides records storage and reference services to state agencies, boards, and commissions. In certain cases, records are stored for counties, municipalities, and state-supported colleges and universities. Records transferred for storage in the SRC remain in the legal, official custody of the creating agency. Access to stored records is restricted to the creating agency's staff. Persons other than an agency's staff must contact the appropriate agency and receive written permission prior to using records in the SRC. The SRC will not accept for storage any unscheduled or unidentified records. **Likewise, if the agency's program Records Schedule does not instruct the agency to transfer the records in question, the SRC will not accept the records, and no records covered by the General Schedule will be accepted for transfer and storage.**

Any records transferred to the SRC must be in approved storage boxes and clearly identified with specific, preprinted labels as provided by the SRC. The SRC must also have a completed, signed Records Transfer Request Form for each transfer. There is a nominal charge for boxes and supplies (box tape and labels), most xerographic copies, and paper-based records destruction (billed by vendor). Currently there is no charge for all other agency services (storage; reference; file retrieval, re-filing, and inter-filing; and transportation of records transfers and supplies within Raleigh city limits).

Due to budgetary and staff limitations, the SRC does not deliver supplies or pick up records *outside* the Raleigh city limits. Out-of-town agencies must arrange to pick up their boxing supplies and make arrangements to deliver their records transfers. The SRC is not able to mail flattened boxes, but labels and forms can be sent by mail to out-of-town agencies. For agencies *within* the Raleigh city limits, the SRC no longer mails files being retrieved and checked out to the agency (effective October 13, 2003). All in-town agencies' staff must pick up the requested files in person.

For more information on Government Records Branch staff / contacts, operations, and up-to-date versions of this Handbook (and forms), see the web site address listed below.

Contact Information: (NOTE: PHONE NUMBERS CHANGED OCTOBER 13, 2003)

State Records Center

Main Office: (919) 807-7370

FAX: (919) 715-3627

General Email: records@ncmail.net

Chris Denning

SRC Supervisor

Phone: (919) 807-7372

Email: chris.denning@ncmail.net

Mary Hollis Barnes, c.a.

Supervisor, State Agency Services Unit

Phone: (919) 807-7361

Email: mary.h.barnes@ncmail.net

Web Address: <http://www.ah.dcr.state.nc.us/records/default.htm>

How to Transfer Records

The SRC uses a computerized database system which blends information from each agency's program Records Schedule (SCHS) with tracking information on previously transferred records (FAIDS). Certain portions of this blended information are extracted by the computer and used in printing each specific, records series-related Records Transfer Request Form (RC-2), as well as printing the appropriate number of box labels. IT IS IMPERATIVE THAT YOU PROVIDE THE SRC WITH THE CORRECT ITEM NUMBER FROM YOUR RECORDS SCHEDULE. Records covered by the General Schedule will not be accepted for transfer.

Transferring Records Checklist Please do the following (in this order):

1. Check your program **Records Schedule** to verify the records series' **Item Number** and **Disposition Instructions**. If the series *is* to be transferred, check to see if the time limit / guidelines have been met. Note if there are any steps you need to take care of in-agency (such as removing portions of some files, or preparing the records for microfilming) before contacting the SRC to initiate a transfer request. Determine how many cubic feet (how many boxes) of records you need to transfer.
2. Once you have this information on hand, call the SRC at: **(919) 807-7370**
3. Provide your name, agency, building / room number, street address, and phone number.
4. Provide the **Item Number** (from the Records Schedule) for the records to be transferred. Tell us **how many boxes, box tape and labels** you need to prepare the records for transfer. Most agencies use a standard cubic foot box (Letter box), or know from previous transfers if they will need a different size of box (such as a Voucher box or IBM box).

NOTE: There is a nominal **charge for boxes, tape, and labels** [see next page]. The SRC staff will fill out an **Order Form** for your signature (signifying that you have initiated the request and are aware your agency will be billed for the cost of the boxes and supplies). The SRC staff may elect to mail or FAX this order to you for signing and returning.

5. Upon return receipt of the completed Order Form, a Records Transfer Request Form (RC-2), and box labels will be generated by computer (an overnight process). For agencies within Raleigh city limits, the boxes, labels, and transfer form will be delivered as soon as possible (out-of-town agencies must make arrangements to pick up their boxes and tape, but the labels and form can be mailed as necessary).

NOTE: *If you need boxes, etc., immediately, you must arrange to pick them up.*

6. When your boxes are packed, labeled and numbered, [for more detailed instructions, see page A6 in the Appendix, "How to Box Records for Transfer to the State Records Center," Form (RC-4)] and when the boxes are completely ready for transfer / pick up, complete Items 7, 12, 13, and 14 on the Records Transfer Request Form. Make a copy for your files, and send the original to the SRC. If you FAX the form back to the SRC, keep the original with the boxes of records awaiting transfer.

NOTE: Only records packed in Records Center boxes will be accepted for storage in the SRC. Boxes which do not comply with instructions shall be returned to the agency or organization for correction (or not picked up).

(continued on next page)

How to Transfer Records

Transferring Records Checklist (cont.)

7. The SRC staff will contact in-town agencies prior to arriving to pick up the records transfer. Out-of-town agencies should make arrangements to bring their records to the SRC. **Please DO NOT send records via the State Courier Service—they have no way of tracking your shipment if it gets lost.** If you must use the Courier Service, we ask that you notify us in advance of your intentions, so we can be on the lookout for the shipment.

This checklist is based on NC Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0503 (amended April 1, 2001). For a full citation of this section, see pages A1-A3 in the Appendix.

For a copy of “How to Box Records for Transfer to the State Records Center” Form (RC-4), see page A6 in the Appendix; the form is also available for download from the branch’s web site.

Box Charges / Supply Fees

Effective July 1, 2001, the SRC began charging a *nominal* fee for boxes, box tape, and preprinted labels. This change is based on NC Administrative Code (amended as listed above). The following fee schedule for boxes and supplies will apply to state agencies, boards, commissions, universities, and community colleges:

- Letter box (1 cubic foot, 12” x 15” x 10 ½”) -- \$.65 each
- Voucher box (9” x 15” x 10”) -- \$.35 each
- IBM box (8” x 15” x 3 ¾”) -- \$.35 each
- Preprinted box labels (one per box is required) -- \$.02 each
- Box tape (one strip per box is required) -- \$.10 each

Sales tax on orders will only be charged to those offices without a Dept. of Revenue sales tax exemption (a copy of the agency’s exemption letter must be on file with the Archives and Records Section).

Monthly invoices will be sent to the **division** of which the requesters’ offices are a part. The monthly invoices will contain unified lists of all orders from those divisions.

The Government Records Branch reserves the right to waive the fee for boxes and supplies, *or to postpone the invoicing process*, if it determines that billing for an extremely small amount would only lead to inefficiency and processing costs that exceed the amount billed. Such cases may only be approved by the Assistant State Records Administrator.

Unused boxes and supplies may not be returned for refund or credit.

For additional information, see page A4 in the Appendix:

Memorandum, July 24, 2003, Reduced Fees for Records Center Storage Cartons – Letter Boxes Only (supercedes April 1, 2001 memorandum)

Reference and Retrieval Services

Reference service on records stored for the creating agency in the State Records Center (or one of the off-site storage facilities) may be obtained by one of the following methods:

Routine requests

Complete a Records Retrieval Form (RC-14) and send it to the State Records Center by:

Interoffice Mail	
U.S. Postal Service	4615 Mail Service Center, Raleigh, NC 27699-4615
State Courier	Courier Service No. 51-81-20
FAX	(919) 715-3627
E-mail (general address)	records@ncmail.net
Hand delivery	

Out-of-town agencies: the requests will be filled and returned by either Mail Service Center / Interoffice or U.S. Postal Service to the requesting agency (must be the agency which created the records). In certain instances, an out-of-town agency may prefer using State Courier Service for retrieved records, but must be aware there is no systematic tracking of items sent *via* courier. If the agency's staff intends to visit the SRC office to view the records in person, please note that on the form.

In-town agencies (within the Raleigh city limits): the requested files will be pulled and the agencies' staff will be called and informed that the requested files are ready for personal pick-up. No records will be given out to anyone other than the requestor, unless the requestor has identified a designee. All visitors coming to pick up records must register with the receptionist in the lobby and show a valid state agency ID badge. For more information, see page A7 in the Appendix: Memorandum, October 13, 2003, Reference Checkouts from State Records Center (SRC).

Priority or Emergency requests

Complete a Records Retrieval Form (RC-14) and bring it *in person* to the SRC office at **215 North Blount Street** (across from the Governor's Mansion). SRC staff will fill the request as soon as possible.

Records research visits (Non-Emergency requests)

Visitors wishing to use records stored in the State Records Center are urged to call in advance (so the records can be pulled / ready for use upon the researcher's arrival). If the researcher is not an employee of the agency which created the records needed, the researcher **must receive written permission** from the agency allowing the use of the files. This written permission must include all information needed to retrieve the materials, and the agency should also complete a Records Retrieval Form (RC-14) for the records series in question. ***Note: Visitors must bring their permission letter and the RC-14 form with them when conducting research at the SRC.*** All research requests without written permission from the creating agency will be denied.

The Records Retrieval Form (RC-14) for service / retrieval of stored records must include:

- the requester's name, full agency information, and telephone number
- the requester's building and room number and / or address
- indicate if the records or information should be mailed, picked-up, or a call placed to the requester concerning the material
- the Item number(s) from the agency's program Records Schedule
- specific details about the records or files being requested
- the dates of the records requested

For a copy of Records Retrieval Form (RC-14), see page A8 in the Appendix, it is also available for download from the branch's web site.

Authorized Destruction of Records Destruction Charges

Authorized Destruction of Records

An agency may destroy records ***only*** on the basis of their approved program Records Schedule (developed specifically for that agency), the General Schedule for State Agency Records, and/or the Standard Disposition Instructions for North Carolina Accounting System (NCAS) Reports. The consistent and routine implementation of the disposition instructions listed in these schedules provides the proper and legal foundation for the disposition of public records through destruction (or transfer to the SRC).

Authority for these disposition instructions is contained in Chapters 121 and 132 of the General Statutes of North Carolina. Compliance with the disposition instructions listed in these retention schedules helps ensure conformity with the public records laws, and allows the proper destruction of records whose value has ended (as well as the retention of records with continuing value). Procedures to be followed in properly disposing of records are explained in the NC Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510 (May 16, 1989):

.0510 DEFINITION OF DESTRUCTION

When used in an approved records retention and disposition schedule, the provision that records are to be destroyed means that the records are to be:

- 1. burned;**
- 2. shredded or torn up so as to destroy the record content of the documents or materials concerned;**
- 3. placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned;**
- 4. buried under such conditions that the record nature of the documents or materials will be terminated; or**
- 5. sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records.**

No unscheduled records in an agency's custody should be destroyed until a Request and Approval of Unscheduled Records Form (RC-5) is filled out by the agency and approved by staff of the Government Records Branch. Records stored in the SRC remain in the legal custody of the creating agency and will not be destroyed until that creating agency concurs with the destruction by signing a Notice of Destruction of Records Form (RC-23X). This form is computer generated by the SRC and sent to agencies on a quarterly basis as specific records become eligible for destruction (based on approved program Records Schedule instructions).

Destruction Charges

In September, 2002, the State Records Center (SRC) contracted with the State's recycling vendor for the destruction of inactive government records. The fee for recyclable records (shreddable / paper) is **97.5 ¢ per cubic foot**, and for non-recyclable records (non-shreddable, non-paper) the fee is **\$1.00 per cubic foot**. The contract is reviewed annually, and those fees are subject to change. **The vendor will send invoices directly to the appropriate agency**, based on the following information (provided to them by the SRC): name of the custodial office, cubic footage removed from storage to be destroyed, name and address of person to whom the invoice should be sent. **(See page A10 in the Appendix for a copy of the September 13, 2002 memorandum announcing the records destruction activities update).**

Other Branch or Section Services

Records Scheduling

Records management services are extended to all agencies and departments in state government, counties, municipalities, the community college system, and state colleges and universities. Working with the agency's Chief Records Officer, a Records Management Analyst is assigned to each agency or department to give guidance to agencies on the full range of records management issues and services. **Please Note:** It is the responsibility of each state agency to keep its program Records Retention and Disposition Schedule up to date and to notify the Government Records Branch of any changes affecting its schedule.

Records Management Workshops

Training is available to all state employees interested in learning more about records management and subject filing systems. All presentations are given by Records Management Analysts who provide detailed instructions regarding the procedures involved in creating or updating an office's retention schedule. Most workshops are held at the State Records Center on first and third Wednesdays, September through May. For more details, call (919) 807-7350.

The basic workshop lays the groundwork for working with public records in both paper and electronic formats:

- **Introduction to Managing Public Records** (2½ hours). Answers questions like: "What is records management?" and "What is a records retention and disposition schedule?" Dispels notions such as, "We don't have public records." Provides tools to help when "My boss wants these records out of the hallway." This presentation covers public access to electronic files; managing, storing, and retrieving electronic records and helping assure their accuracy and reliability; the security of electronic files; and system backups. This workshop will also provide a basic introduction to the Public Records Law in North Carolina and describe how a schedule is developed. Includes a discussion and tour of the State Records Center's services and features.

The branch also offers three workshops which discuss more specific issues:

- **Managing Electronic Records: Recognizing Perils and Avoiding Pitfalls** (1½ hours). More and more, government employees use computers as they conduct their daily business. While computers are invaluable tools that store large amounts of data that can be easily searched, depending solely upon electronic records can be dangerous. In this workshop state employees will learn some of the problems associated with electronic records and will receive advice on how to protect those records.
- **The Digital Divide Also Multiplies: Managing E-mail** (1½ hours). Increasingly, government employees utilize e-mail to conduct government business. People use e-mail to communicate ideas and to obtain information. While it can increase office productivity, e-mail can also be a burden as the amount of e-mail multiplies. This workshop offers tips and tricks to help state employees identify and manage e-mail records and explains why electronic mail is a public record.
- **From Filing Cabinet to Desktop PC: Organizing Your Paper and Electronic Files** (1½ hours). For the vast majority of offices, maintaining records is still a daily factor in office work. This workshop provides concrete examples of how to organize and maintain active paper and electronic files in an efficient, easy-to-use system, and is designed for state employees who desire something better than a strictly alphabetical filing system, or who are challenged with organizing e-mail or electronic documents.

Other Branch or Section Services

Arrangement and Description of Archival Records

The primary purpose of the archivists in the State Agency Services Unit of the Government Records Branch is to identify, appraise, arrange, describe, and make accessible the permanently valuable *noncurrent* records of state government. They ensure that all state agency records brought into the custody of the State Archives are properly preserved, protected, identified, and appraised for their legal and historical value. The permanently valuable records are arranged and described according to archival and departmental standards, practices, and procedures; and more detailed finding aids are prepared to enable the records to be better utilized for research by staff, government employees, and the general public (usually in the State Archives' Search Room).

Archivists make their appraisal decisions based upon broad knowledge of the state's history, public records laws, Records Schedules, and internal unit guidelines. Records received by the State Archives are usually those no longer needed administratively by state and local government units, but which retain legal and evidentiary value or have content of interest to genealogists and historians. Disposal of non-permanently valuable records is equally important in the appraisal process, greatly reducing the volume of records retained and enhancing the overall accessibility of records.

Records are arranged into series established by the appropriate agency's Records Schedule and merged with any previously transferred material already received from the respective state agency. During the process of arrangement, records are removed from harmful environments (e.g. staples, paper clips, rubber bands, pins, acidic folders and shucks) and placed in acid-free folders and boxes. Documents requiring conservation are also identified and arrangements are made for their treatment.

Once records have been re-folded, they are properly labeled to ensure greater ease in accessibility by staff and researchers. Records description involves the preparation of finding aids to provide better access to records series by both Archives staff and the general public. This process also includes the creation and updating of data in automated finding aids, such as the Manuscripts and Archives Reference System (MARS). Through the creation of paper and electronic finding aids, the Records Description Unit is able to maintain intellectual control over governmental records transferred to the State Archives' custody.

State Agency Services Unit archivists may also provide reference service for both governmental agencies and the general public to the *unprocessed* state agency records (including Governor's Office records) in State Archives' storage.

Microfilming Services

The Imaging Unit of the Collections Management Branch provides services to local and state government including establishing standards for micrographics; providing preservation and security reformatting of public records; microfilm processing, duplicating and quality control testing; and consulting with local and state governments regarding their micrographics records systems. Records are filmed for state government agencies and boards, occupational licensing boards, and independent regulatory commissions. Records must be approved for microfilming in the agency's program Records Schedule. All microfilm produced by the Collections Management Branch meets archival, state, and national standards. All microfilm produced is inspected by quality control technicians and certified for accuracy by microfilm camera operators. Copies of microfilm of certain types of records are available for use by the general public in the State Archives' Search Room.

***** (See page A11 in the Appendix for more information on preparing documents for microfilming.) *****

Other Branch or Section Services

State Archives

When state agency records are stored in one of the SRC facilities, they remain in the custody of the creating office. If the agency's program Records Schedule designates particular series for transfer to the State Archives' custody (after a certain holding period), those records are coded in the SRC's database as "pending transfer." Once the records are transferred from the SRC to the State Archives, they remain accessible for use (unless restricted by law). The custody of the records also transfers to the State Archives, and the creating agency can no longer request files be "checked out" or returned. Agency staff and the general public must then use the records at one of the State Archives research areas, such as the State Archives Search Room, Room 201, Archives and History / State Library Building (109 East Jones Street), 4614 Mail Service Center, Raleigh, NC 27699-4614, phone (919) 807-7310.

For more information on the State Archives Search Room, hours of operation, and finding aids, see the web site: www.ah.dcr.state.nc.us/sections/archives/arch/default.htm

Appendix / Useful Forms

NC ADMINISTRATIVE CODE
TITLE 07, CHAPTER 04, SUBCHAPTER M, SECTION .0500
STATE RECORDS CENTER

.0501 TRANSFER OF RECORDS TO STATE RECORDS CENTER

The State Records Center will accept for transfer to its physical custody the records of state agencies, county agencies, or municipal agencies, providing the records are scheduled to be transferred to the State Records Center on an approved records retention and disposition schedule or an approved records retention and disposition standard.

History Note: Authority G.S. 121-4(2); 121-5(d); 143B-62(2)b;
Eff. February 1, 1985.

.0502 LEGAL CUSTODY OF RECORDS

Public records transferred to and physically stored in the State Records Center in accordance with the provisions of an approved records retention and disposition schedule or standard, or in accordance with any other agreement between the Department of Cultural Resources and the originating agency or department, are considered to remain in the legal and official custody of the agency that created the records and that transferred them to the State Records Center. A request for access to, or inspection of, paper or microfilm records in the physical custody of the State Records Center by a person other than an authorized employee of the legal custodian will not be honored until authority in writing has been granted by an appropriate official of the agency having legal custody.

History Note: Authority G.S. 121-4(2); 121-5(d); 143B-62(2)b;
Eff. February 1, 1985;
Amended Eff. June 1, 1989.

.0503 PROCEDURES FOR TRANSFER OF RECORDS

- (a) Physical transfer of records to the State Records Center shall be initiated by the agency or organization requesting transfer. A representative of the said agency or organization will submit to the State Records Center supervisor a records transfer notice including agency name, title of records, reference to schedule, volume of records, their inclusive dates, and the name and telephone number of the representative submitting the request.
- (b) Records Center boxes, together with paper tape and instructions on packing and labeling, shall be sent to the agency transferring records upon request, and at the expense of the agency.
- (c) Only records packed in Records Center boxes shall be accepted for storage in the State Records Center.
- (d) The agency or organization initiating the transfer shall arrange records in the boxes and label boxes in accordance with instructions. Boxes which do not comply with instructions shall be returned to the agency or organization for correction.
- (e) Records which cannot be identified clearly and completely by the information on the label of the Records Center box must be accompanied by a typewritten index or box list prepared by the agency or organization of origin.
- (f) Records transferred from within ten miles of Capitol Square, Raleigh, shall be shipped by arrangement with the Supervisor, State Records Center. Records transferred from beyond ten miles of Capitol Square, Raleigh, must be shipped by the agency or organization concerned, and at its expense.

History Note: Authority G.S. 121-4(2); 121-5(d); 143B-62(2)b;
Eff. February 1, 1985;
Amended Eff. April 1, 2001; June 1, 1989.

.0504 PHYSICAL TRANSMITTAL OF RECORDS

History Note: Authority G.S. 121-4(2); 121-5(d); 143B-62(2)b;
Eff. February 1, 1985;
Repealed Eff. June 1, 1989.

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NC ADMINISTRATIVE CODE
TITLE 07, CHAPTER 04, SUBCHAPTER M, SECTION .0500
STATE RECORDS CENTER
(cont.)

.0505 RECORDS CENTER REFERENCE SERVICE

The agency or organization of origin retains legal custody of records transferred to the State Records Center. Anyone or any other agency desiring access to, or copies of, records must obtain written authorization from the legal custodian or his designated representative. Requests for records or reference service will be made on forms provided by the State Records Center. In an emergency, records or reference service may be provided after telephoned request and with the approval of the Chief, Archives and Records Section.

History Note: Authority G.S. 121-4(2); 121-5(d); 143B-62(2)b;

Eff. February 1, 1985;

Amended Eff. June 1, 1989.

.0506 PERSONAL PICKUP FOR EMERGENCY REFERENCE

Records approved for emergency reference shall not be mailed or sent by interagency messenger service. The representative sent to retrieve records must bring identification and written authorization for release signed by the legal custodian.

History Note: Authority G.S. 121-4(2); 121-5(d); 143B-62(2)b;

Eff. February 1, 1985;

Amended Eff. June 1, 1989.

.0507 PERSONNEL RECORDS

Any employee or former employee desiring access to personnel records must make the request through the personnel office of the agency which retains legal custody of the records. Upon receipt of request from the appropriate personnel office, the State Records Center will forward personnel information to that office.

History Note: Authority G.S. 121-4(2); 121-5(d); 143B-62(2)b;

Eff. February 1, 1985;

Amended Eff. June 1, 1989.

.0508 CERTIFICATION BY AGENCY WITH CUSTODY

Only copies of records that are in the legal custody of the Department of Cultural Resources may be certified by the Department. Copies of records that are in the physical custody of the State Records Center must be certified by the agency having legal custody, if such certification is requested. In the event that records of terminated agencies are in the State Records Center and are in the legal custody of the Department of Cultural Resources, copies may be certified by the Department of Cultural Resources.

History Note: Authority G.S. 121-4(2),(3); 121-5(d); 132-4; 143B-62(2)b,c;

Eff. February 1, 1985.

.0509 DESTRUCTION OF RECORDS IN STATE RECORDS CENTER

The provisions of an approved records retention and disposition schedule will apply to the records in the physical custody of the State Records Center since the records remain in the legal custody of the agency concerned. When the approved disposition is destruction, the records will not be destroyed until concurrence in writing of the agency with legal custody is received.

History Note: Authority G.S. 121-4(2); 121-5(b),(c),(d); 143B-62(2)b;

Eff. February 1, 1985.

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NC ADMINISTRATIVE CODE
TITLE 07, CHAPTER 04, SUBCHAPTER M, SECTION .0500
STATE RECORDS CENTER
(cont.)

.0510 DEFINITION OF DESTRUCTION

When used in an approved records retention and disposition schedule, the provision that records are to be destroyed means that the records are to be:

- (1) burned, unless prohibited by local ordinance;
- (2) shredded or torn up so as to destroy the record content of the documents or materials concerned;
- (3) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the document or materials concerned;
- (4) buried under such conditions that the record nature of the documents or materials shall be terminated; or
- (5) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records.

History Note: Authority G.S. 121-4(2); 121-5(b),(c),(d); 132-3; 132-8.1; 132-8.2; 143B-62(1)g; 143B-62(2)b; 143B-62(2)b;
Eff. February 1, 1985;

Amended Eff. April 1, 2001; June 1, 1989.

.0511 DESTRUCTION OF CERTAIN RECORDS SCHEDULED FOR ARCHIVES

Records scheduled in an approved records retention and disposition schedule to be transferred to the State Archives for review or accepted by the State Records Center for the State Archives may be destroyed in accordance with procedures approved by the Director of the Division of Historical Resources providing:

- (1) The records are considered not to have permanent value.
- (2) The records are exact duplicates or copies of other records in the records series transferred or accessioned.

History Note: Authority G. S. 121-4(2); 121-5(b),(c),(d); 132-8.1; 132-8.2; 143B-62(1)g; 143B-62(2)b;
Eff. February 1, 1985;

Amended Eff. April 1, 2001; June 1, 1989.

.0512 RESTRICTED AREAS IN STATE RECORDS CENTER

Access to the State Records Center is limited to persons on official business. Visitors are not permitted in the records storage areas, the microfilm areas, or beyond the administrative office without an escort provided by the State Records Center. All visitors are required to sign in when entering and to sign out when leaving the State Records Center building. Visitors who are not known to the State Records Center staff will be required to produce identification before being given records requested by agencies. Access by visitors not on official business may be denied.

History Note: Authority G.S. 121-4(2); 143B-62(2)b;
Eff. February 1, 1985;

Amended Eff. April 1, 2001; June 1, 1989.



North Carolina Department of Cultural Resources

Michael F. Easley, Governor
Lisbeth C. Evans, Secretary

Office of Archives and History
Jeffrey J. Crow, Deputy Secretary

July 24, 2003

Memorandum

To: Council of State and Executive Cabinet Controllers, Comptrollers, Fiscal Officers, Budget Officers and Business Officers
Chief Records Officers

From: David W. Mitchell
Assistant State Records Administrator

Subject: Reduced Fees for Records Center Storage Cartons—Letter Boxes Only

July 1, 2003 marked the two-year anniversary of this agency's box resale program. Charging a small fee for boxes and associated supplies enables us to keep adequate inventories on hand despite reductions in other spending areas.

An analysis of box costs for the past two years indicates that prices have remained fairly constant, fluctuating only \$.02 to \$.03 per box. As a result, I am pleased to inform you of a reduced fee for letter-size boxes. Effective August 1, 2003 the following fee schedule will apply for boxes and associated supplies:

Letter box (1 cubic foot)	\$.65 each (down from \$.75 each)
Check box	\$.35 each
IBM box	\$.35 each
Preprinted box labels	\$.02 each (1 label per box is required)
Box tape	\$.10 per piece (1 piece per box is required)

All orders for letter-size boxes received on or after August 1 will be processed at the new rate. PLEASE COMMUNICATE THIS RATE CHANGE WITH AFFECTED PERSONNEL.

If additional questions arise, feel free to contact me at david.mitchell@ncmail.net or 733-3540.

MAILING ADDRESS:
4615 Mail Service Center
Raleigh, N.C. 27699-4615

Telephone (919) 733-3540
Facsimile (919) 715-3627

LOCATION:
215 N. Blount Street
Raleigh, N.C. 27601-2823
State Courier 51-81-20

Procedures for Charging Fees for Records Storage Cartons

Revised August, 2005

1. **Basis in Administrative Code**

The *North Carolina Administrative Code* (07 NCAC 04M.0503) authorizes the Division of Historical Resources (formerly the Division of Archives and History), Archives and Records Section, to charge a fee for boxes and supplies associated with the transfer of inactive records to the State Records Center. The effective date of this code is April 1, 2001.

2. **Application**

The charge for records storage cartons and associated supplies applies to all state agencies, independent boards and commissions or licensing boards, agencies of municipal or county government, and agencies that are part of the University of North Carolina system. Cartons used by Historical Resources staff to transfer records from Clerks of Superior Court or Registers of Deeds offices will be supplied at no cost. Cartons used by Division of Historical Resources offices will be supplied at no cost.

3. **Invoices**

The Government Records Branch (GRB) will adhere to billing practices as described in the Department of Cultural Resources' Accounts Receivable Program Policy and Procedures. That is, invoices will be sent out no later than the 10th of the month following the month in which cartons were delivered. See the Accounts Receivable Program Policy and Procedures for additional information on payment terms.

The following exception applies:

The GRB will keep a running log of charges due for boxes and associated supplies, and an invoice will be issued when accumulated charges reach \$25.00. If the agency has not accumulated charges of \$5.00 by May of the fiscal year, it will not be billed for cartons and/or associated supplies. Agencies that have accumulated charges greater than \$5.00 but less than \$25.00 will be billed by the 10th of May.

4. **Procedures**

The GRB will keep a detailed account of cartons and supplies delivered to each agency affected by these procedures. Insofar as possible, the detailed account will indicate the requesting agency's organizational hierarchy, requestor's name, phone number, and office address; and amount of cartons/supplies delivered. The detailed account will be kept in a commonly used spreadsheet or word processing program and will be a public record as defined in G.S. 132.

Following the creation of invoices from information contained in the detailed account, staff of the GRB will send them to the requesting agency's division for payment (unless otherwise indicated by the agency). Invoices will be duplicated and sent according to procedures employed by the State Archives.

5. **Accounts Receivable**

Payments received for records storage cartons will be deposited into a special fund, identified by the Department of Cultural Resources Budget Office as Records Storage Cartons, 1230135 / 434390. This "box fund" will be used by the GRB only for the purchase of additional cartons or supplies. Should the fund balance not permit the purchase of cartons or supplies, additional funds may be used from the Archives and Records Section budget only with approval from the State Archivist and Records Administrator.

6. **Sales Tax**

Sales tax will only be collected and included on invoices sent to agencies without a Dept. of Revenue sales tax exemption (a copy of the agency's exemption letter must be on file with the Archives and Records Section).

**Government Records Branch
Division of Historical Resources**

**HOW TO BOX RECORDS FOR TRANSFER TO
THE STATE RECORDS CENTER**

Form RC-4 (Rev. 10/2003)

INSTRUCTIONS

Follow procedures exactly. Use **only** State Records Center boxes, tape, and labels, which are available for a nominal fee.

Transfer only scheduled records.

1. Unfold and assemble box, turning short flaps in first then long flaps, positioning so **trademark will be on bottom** of box, and for letter boxes, the **handhold cutout will be nearer the top** of box. Tape bottom of box with 3-inch wide paper tape purchased from the State Records Center.
2. Place records in boxes in the upright position and in the same order as they were arranged in your office's file drawers. Leave the records in their file folders, **but do not pack hanging file folders**. If the material previously stored in hanging files was not also stored in regular file folders, **place the folder contents in regular files before packing** into the boxes. Transcribe folder titles onto any unlabeled folders. Pack neatly but allow about four inches (a fist) of free play in the back of the box (for possible re-file, inter-file, or reference activity).
3. The standard State Records Center box is sized to accommodate either letter or legal files. Stand letter-size folders the 12-inch way front to rear of the box. Stand legal size folders the 15-inch way from left to right side of box.
4. Do **not** pack records from two different Records Schedule item numbers in the same box, not even if they happen to have the same disposition instructions. **Keep your records series separate from one another.**
5. Box labels are pre-printed using information from the SRC's database and your office's Records Schedule. A generic box label is shown below. **Assign individual box numbers as packed, enter number of total boxes at end of packing.** Fill in information **below** the dotted line on the label by typewriter, ballpoint pen, or fine-point **permanent** marker (such as Sharpie by Sanford). **HOWEVER, DO NOT USE THE EXPRESSO BRAND MARKING PENS BY SANFORD—THEY ARE VERY IMPERMANENT AND FADE QUICKLY WHEN EXPOSED TO LIGHT—WHICH LEADS TO AN UNREADABLE LABEL.**

Department/Agency Name	(from Records Schedule)
Other Organizational Levels	(from Records Schedule)
Item Number and Records Series Title	(from Records Schedule)
Effective Date of Schedule	(from Records Schedule)

DATES OF RECORDS (Enter Inclusive Dates of Series/Transfer)	
BOX STARTS WITH (Enter No. / Letter of Beginning File in Box)	
BOX ENDS WITH (Enter No. / Letter of Ending File in Box)	
BOX NO. _____ OF _____ TOTAL BOXES IN SERIES	

6. Adhere the label on the center front (12-inch/short side) of letter boxes—just under the handhold cutout. Adhere the label on the center front of all other sizes of boxes. Identify correct box sequence by numbering all boxes consecutively within each Records Schedule Item/Series. Write the beginning and ending box count on the label. **EXAMPLE:** BOX NO. 1 OF 50 TOTAL BOXES IN SERIES
7. Close boxes by tucking top flaps alternately over and under each other. **DO NOT TAPE TOP OF BOX.** Complete the Transfer Request Form (RC-2), and contact the SRC to arrange for transfer of boxes.

For assistance with boxing instructions, call the State Records Center, (919) 807-7370.



North Carolina Department of Cultural Resources

Michael F. Easley, Governor
Lisbeth C. Evans, Secretary

Office of Archives and History
Jeffrey J. Crow, Deputy Secretary

Memorandum

To: State Agency Chief Records Officers

From: Catherine J. Morris, State Archivist and Records Administrator

Subject: Reference Checkouts from State Records Center (SRC)

Date: October 13, 2003

Recent price increases for Mail Service Center services have forced the SRC to consider alternative methods for filling reference requests for records stored for your agencies. Since July 1, 2003, the SRC has received over 2,600 reference requests for records. Many of those records must be mailed to offices outside the Raleigh city limits, and many are sent via inter-office mail to state agency buildings in the downtown government complex. The potential cost of mailing those files over an entire fiscal year is staggering.

As a result of this potential impact on the Archives and Records Section budget, files requested for checkout by state agencies occupying buildings within the Raleigh city limits will no longer be mailed. Instead, the individual requesting the record(s) or his/her designee must come to the State Records Center (215 N. Blount Street) in person to pick it up. This procedural change is effective immediately.

Individuals picking up records must show a valid state agency identification badge prior to receiving the file(s).

While this change may serve as an inconvenience to many of you, it does more than simply save this agency mailing costs. **It also ensures added protection of the records, many of which are confidential by statute, and reduces the risks associated with sending unique records through a very complex mail system.**

Files requested by agencies outside the affected area will continue to be mailed, if requested.

Thank you for your cooperation in assisting us with this transition. If questions arise concerning the State Records Center's location or the retrieval of files, please contact Mary Hollis Barnes via email at mary.h.barnes@ncmail.net or by phone at 733-3540.

MAILING ADDRESS:
4615 Mail Service Center
Raleigh, N.C. 27699-4615

Telephone (919) 733-3540
Facsimile (919) 715-3627

LOCATION:
215 N. Blount Street
Raleigh, N.C. 27601-2823
State Courier 51-81-20

Department of Cultural Resources
Division of Historical Resources
Government Records Branch
RECORDS RETRIEVAL FORM

INSTRUCTIONS: Use this form to request records previously transferred to the State Records Center. Please **complete all fields in Sections 1 and 2.** NOTE: as of 10-13-2003, agencies in Raleigh must send staff to the SRC to personally pick up files. Out-of-town agencies: indicate if staff should be called when files are ready for pick up (or use at SRC), or if the file should be mailed / sent by interoffice / sent by courier mail. Keep a duplicate and return the original to:

Mail to: Government Records Branch, 4615 Mail Service Center, Raleigh, NC 27699-4615

Hand delivery: State Records Center, 215 North Blount St., Raleigh, NC

NEW Phone: 919-807-7370

FAX: 919-715-3627

Courier Service No.: 51-81-20

SECTION 1

<u>REQUESTER'S NAME</u>	<u>DEPARTMENT/DIVISION</u>	<u>DATE</u>
<u>TELEPHONE NUMBER</u>	<u>BUILDING AND ROOM NUMBER</u>	CHECK ONE: <u>MAIL</u> ____ <u>CALL</u> ____ <u>WILL PICK UP</u> ____

SECTION 2 RECORDS / INFORMATION REQUESTED

DATES

ITEM NUMBER

SECTION 3 (PLEASE DO NOT WRITE BELOW THIS LINE. STATE RECORDS CENTER USE ONLY)

REQUEST TAKEN BY:	TIME:	DATE:
RECORDS FORWARDED:	TIME:	DATE:
INFORMATION GIVEN:	TIME:	DATE:
RECORDS NOT FOUND:	REASON:	DATE:
RECORDS PREVIOUSLY CHARGED TO (Name):	AGENCY:	DATE:

ITEM NUMBERS:	SERVICES:	REFILES:

SEARCHER: _____

Department of Cultural Resources
Division of Historical Resources
Archives and Records Section/Government Records Branch

Regulations for the Use of the State Records Center

NORTH CAROLINA ADMINISTRATIVE CODE (EXCERPT):

07 NCAC 04M .0512 RESTRICTED AREAS IN STATE RECORDS CENTER

Access to the State Records Center is limited to persons on official business. Visitors are not permitted in the records storage areas, the microfilm areas, or beyond the administrative office without an escort provided by the State Records Center. All visitors are required to sign in when entering and to sign out when leaving the State Records Center building. Visitors who are not known to the State Records Center staff will be required to produce identification before being given records requested by agencies. Access by visitors not on official business may be denied.

History Note: Authority G.S. 121-4(2); 143B-62(2)b;
Eff. February 1, 1985;
Amended Eff. April 1, 2001; June 1, 1989.

1. Briefcases, tote bags, large purses, ring notebooks, envelopes, plastic sleeve-covered pages, original maps, manuscripts, and other material are subject to inspection and examination by State Records Center personnel.
2. Admission to the State Records Center is by means of registering at the front desk, providing positive identification. A visitor badge will be issued and shall be turned in when exiting the building. Visitors may move around only under escort or are otherwise restricted to specific areas designated for research.
3. The following rules MUST be observed when handling original records:
 - **Pencils only, no pens or markers, are allowed for research or notes.**
 - **Original records may not be marked, folded, defaced, altered and should be carefully handled.**
 - **Tape and Post-It notes are not permitted.**
 - **Manuscripts, volumes and reference books should remain flat on the table and should not be held in the lap or propped against a table edge.**
 - **Only one folder is to be removed from a box at a time, and the place of that folder is to be appropriately marked with a pink place marker (supplied by the SRC).**
 - **Records are not to be rearranged under ANY circumstances. If something appears to be out of order, please notify a staff member.**
 - **Smoking is strictly prohibited in the State Records Center. Food and drink are not allowed in the stacks.**
 - **Researchers wishing to leave a designated research area temporarily must leave original records in the research area.**



North Carolina Department of Cultural Resources

Michael F. Easley, Governor
Lisbeth C. Evans, Secretary

Division of Historical Resources
David J. Olson, Director

Memorandum

To: State Agency Controllers and Chief Records Officers

From: Catherine J. Morris, State Archivist and Records Administrator

Subject: Records Destruction Activities—UPDATE

Date: September 13, 2002

In a June 21, 2002 memorandum you were advised that the Archives and Records Section would be seeking proposals for inactive records destruction. You also were notified that custodial agencies would receive invoices for records destruction from the selected vendor. The fee schedule was to be based on a per-cubic-foot or per-pound rate.

I am happy to inform you that a vendor has been selected. Orange Recycling Services (ORS) will work with this agency to pick up, shred and recycle, or destroy by burial the inactive public records stored for your agencies. We hope to begin activities to clear out the present backlog in early September.

The fee schedule is as follows:

Recyclable records—97.5¢ per cubic foot;
Records that cannot be recycled but must be destroyed--\$1.00 per cubic foot.

ORS will send an invoice directly to your agency. We will provide ORS with the following information: name of custodial office, cubic footage removed from our facilities, and name and address of person to whom an invoice should be sent. ***If an invoice should be sent to someone different from the person who receives invoices for records storage cartons, please notify Mary Hollis Barnes at the State Records Center at 919-733-3540 or mary.h.barnes@ncmail.net. ***

Again, thank you for your cooperation and patience as this necessary process has taken place. Please share this information with affected offices within your department. If additional questions arise, please contact David Mitchell, Assistant State Records Administrator, at 919-733-3540 or david.Mitchell@ncmail.net.

Preparing Documents For Microfilming

If an agency's Records Schedule instructs that minutes, photocopies of minutes, or other kinds of governmental records are to be microfilmed, these are the basic steps for preparing those documents for microfilming. **All questions concerning microfilming should be addressed to the following office:** Imaging Unit, Collections Management Branch, Archives and Records Section, Division of Historical Resources, 4616 Mail Service Center, Raleigh, NC 27699-4616. Phone: (919) 807-7334. FAX: (919) 715-7274. (Physical location of Imaging Unit: Basement Room 8, Archives and History / State Library Building)

Minutes

Preparation of original Minute Books (or photocopies) for microfilming is the responsibility of the board or commission staff and must be completed before the records are removed from the office. All original documents must be placed in the order in which they are to be filmed. **All records will be filmed in the exact order received.** The Imaging Unit will film only completed volumes; partially filled books will not be filmed.

- All staples, post-it notes, and paper clips must be removed and all documents taped together must be separated. This includes attachments to the minutes.
- Unfold all documents. Smooth out corner folds. Do not fold copies or submit double-sided copies.
- **All photocopies sent in for microfilming should be on the same size paper.**
- If copies of minutes are torn, repair copies of minutes with transparent tape. **Do not use tape on original records.**
- All various-sized papers should be arranged so that the bottom edge of each page will be evenly aligned.
- Minutes must be signed in all designated areas.
- Complete a Verification of Volume Preparation Form (available from the Imaging Unit or download from www.ah.dcr.state.nc.us/records/verification.pdf) for each shipment prepared for filming. Note the beginning and end of volumes.
- Documents should be packaged in such a way to prevent pages from being damaged during shipment.

Any records not meeting these requirements will be returned. The Imaging Unit cannot provide microfilming services in a timely manner if there are delays as a result of improper preparation.

If board / commission staff are personally delivering minutes to the Imaging Unit, they must make an appointment for delivery. ***To make an appointment to delivery materials for filming, contact: Tammy James, (919) 807-7334.*** If the board / commission staff wish the Imaging Unit to acknowledge mail receipt of photocopies of minutes, please include a cover letter and a self-addressed stamped envelope in the same package as the minutes. The cover letter should include the following essential information: **Title of Minutes, Volume Number, Page Numbers, and Inclusive Dates.** If the original volumes are returned to the board, please do not alter or rearrange any books after they have been filmed. Any modification of the original minute books after microfilming will invalidate the filmed copy.

Governmental Records (other than Minutes)

Preparation of records for microfilming is the responsibility of the creating agency and must be completed before the records are removed from the agency. All records must be placed in the order that they are to be filmed (alphabetical, numerical, chronological, etc.). **Records will be filmed in the exact order received.** All staples and paper clips must be removed and all documents taped together must be separated. Unfold all documents. Smooth out corner folds. Place all records in the appropriate folder and arrange records within each folder in the exact order for microfilming. Preliminary targets (describes the material being filmed) should be prepared by the creating agency. All variously-sized documents should be arranged so that the bottom edge of each page will be evenly aligned. Place folders in boxes. **DO NOT** pack too tightly. Label each box with pre-printed labels (boxes and labels are procured from the SRC). ***Any records not meeting these requirements will be returned promptly.***

SDIR SURVEY LOG

RECORDS DESTRUCTION OR TRANSFER ACTIVITY

FROM _____ TO _____

Activity Reported on Survey Dated_____

INSTRUCTIONS: **This log is for your internal use only**, but it should be **maintained permanently** as a part of your Records Management File – General Schedule, Item No. G37. Use this log to track the destruction of records in your office or transfer of records to the SRC. Fill in the item number from your Records Retention Schedule (or code for the type of General Schedule material), the amount of linear inches destroyed or transferred, and the action date and initials of the person who accomplished the task. Refer to these figures when completing your next SDIR Survey.

[General Schedule items include those Addministrative, Budget, and Personnel records which are not listed on your program Records Retention Schedule.]

[illegible]

***Code as : A=Administrative, B=Budget, or P=Personnel
(or enter former Record Schedule Item No.)**